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# TRANSMITTAL FORM

*(to be used for all correspondence after initial filing)*

| | |
|---|---|
| **Application Number** | 10/042,912 |
| **Filing Date** | 01/11/2002 |
| **First Named Inventor** | Timothy Jay Smith |
| **Group Art Unit** | Not Assigned |
| **Examiner Name** | 2161 |

| Total Number of Pages in This Submission | | Attorney Docket Number | 9D-EC-19746/064853.027 |
|---|---|---|---|

## ENCLOSURES *(check all that apply)*

- [✔] Fee Transmittal Form
  - [ ] Fee Attached
- [ ] Amendment / Reply
  - [ ] After Final
  - [ ] Affidavits/declaration(s)
- [ ] Extension of Time Request
- [ ] Express Abandonment Request
- [ ] Information Disclosure Statement
- [ ] Certified Copy of Priority Document(s)
- [✔] Response to Missing Parts/ Incomplete Application
  - [✔] Response to Missing Parts under 37 CFR 1.52 or 1.53

- [✔] Assignment Papers *(for an Application)*
- [ ] Drawing(s)
- [ ] Licensing-related Papers
- [ ] Petition
- [ ] Petition to Convert to a Provisional Application
- [ ] Power of Attorney, Revocation Change of Correspondence Address
- [ ] Terminal Disclaimer
- [ ] Request for Refund
- [ ] CD, Number of CD(s) _____

- [ ] After Allowance Communication to Group
- [ ] Appeal Communication to Board of Appeals and Interferences
- [ ] Appeal Communication to Group *(Appeal Notice, Brief, Reply Brief)*
- [ ] Proprietary Information
- [ ] Status Letter
- [✔] Other Enclosure(s) *(please identify below):*

1) Post Card
2) Copy of Notice To File Missing Parts of Nonprovisional Application
3) Recordation For Cover Sheet

| Remarks | 4) Declaration and Power of Attorney For Patent Application<br>5) Change of Correspondence Address |
|---|---|

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| Firm *or* Individual name | Enrique J. Mora, Esquire  Reg. No. 36,875<br>Beusse, Brownlee, Bowdoin & Wolter, P. A. |
|---|---|
| Signature | *[signature]* |
| Date | April 2, 2002 |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with <u>sufficient postage as first</u> class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: April 4, 2002

| Typed or printed name | Evelyn J. Gish | | |
|---|---|---|---|
| Signature | *[signature]* | Date | 4/4/2002 |

OIPE JC31
APR 1 2 2002
PATENT & TRADEMARK OFFICE

# FEE TRANSMITTAL
# for FY 2000

*Patent fees are subject to annual revision.*

| Complete if Known | |
|---|---|
| Application Number | 10/042,912 |
| Filing Date | 01/11/2002 |
| First Named Inventor | **Timothy Jay Smith** |
| Examiner Name | **Not Assigned** |
| Group Art Unit | 2161 |
| Attorney Docket No. | **9D-EC-19746/064853-027** |

**TOTAL AMOUNT OF PAYMENT** ($) **170.00**

## METHOD OF PAYMENT (check one)

**1.** ☑ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **07-0844**

Deposit Account Name: **General Electric Company**

☑ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

**2.** ☐ **Payment Enclosed:**
☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Fee ($) | Small Entity Fee Code | Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|---|---|
| 101 | 690 | 201 | 345 | Utility filing fee | |
| 106 | 310 | 206 | 155 | Design filing fee | |
| 107 | 480 | 207 | 240 | Plant filing fee | |
| 108 | 690 | 208 | 345 | Reissue filing fee | |
| 114 | 150 | 214 | 75 | Provisional filing fee | |

SUBTOTAL (1) ($) **0**

### 2. EXTRA CLAIM FEES

| | Extra Claims | Fee from below | Fee Paid |
|---|---|---|---|
| Total Claims | -20** = X | | = |
| Independent Claims | - 3** = X | | = |
| Multiple Dependent | | | = |

**\*\*or number previously paid, if greater; For Reissues, see below**

| Large Entity Fee Code | Fee ($) | Small Entity Fee Code | Fee ($) | Fee Description |
|---|---|---|---|---|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 78 | 202 | 39 | Independent claims in excess of 3 |
| 104 | 260 | 204 | 130 | Multiple dependent claim, if not paid |
| 109 | 78 | 209 | 39 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) ($) **0**

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity Fee Code | Fee ($) | Small Entity Fee Code | Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|---|---|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | **130.00** |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for *ex parte* reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 380 | 216 | 190 | Extension for reply within second month | |
| 117 | 870 | 217 | 435 | Extension for reply within third month | |
| 118 | 1,360 | 218 | 680 | Extension for reply within fourth month | |
| 128 | 1,850 | 228 | 925 | Extension for reply within fifth month | |
| 119 | 300 | 219 | 150 | Notice of Appeal | |
| 120 | 300 | 220 | 150 | Filing a brief in support of an appeal | |
| 121 | 260 | 221 | 130 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,210 | 241 | 605 | Petition to revive - unintentional | |
| 142 | 1,210 | 242 | 605 | Utility issue fee (or reissue) | |
| 143 | 430 | 243 | 215 | Design issue fee | |
| 144 | 580 | 244 | 290 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 240 | 126 | 240 | Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | **40.00** |
| 146 | 690 | 246 | 345 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 | 690 | 249 | 345 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 690 | 279 | 345 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) ($) **170.00**

## SUBMITTED BY

| | Complete (*if applicable*) | |
|---|---|---|
| Name (Print/Type): **Enrique J. Mora** | Registration No. (Attorney/Agent): **36,875** | Telephone: **(407) 926-7705** |
| Signature: | | Date: *April 2, 2002* |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|---|---|---|---|
| 10/042,912 | 01/11/2002 | Timothy Jay Smith | 9D-EC-19746 |

**CONFIRMATION NO. 4769**
**FORMALITIES LETTER**

General Electric Company
Appliance Park, 2-225
Louisville, KY 40225

*OC000000007452425*

Date Mailed: 02/11/2002

# NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

### *Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 130.**

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*A copy of this notice **MUST** be returned with the reply.*

H. Truong

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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01 FC:105          130.00 CH

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